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*[Handwritten signature]*

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& LIONE

**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8**  
I hereby certify that the correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450, on the below date:  
Date: October 26, 2006 Name: Marc V. Richards (37,921) Signature: *Marc V. Richards*

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Appln. of: George V. Guyan et al.  
Appln. No.: 09/305,234  
Filed: May 4, 1999  
For: Component Based Task Handling During Claim Processing  
Attorney Docket No: 10022/248

Examiner: S. Rimell  
Art Unit: 2164

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

**TRANSMITTAL**

Sir:

**Attached is/are:**

- ☒ Third Supplemental Information Disclosure Statement; Form PTO-1449; four cited references;
- ☒ Return Receipt Postcard

**Fee calculation:**

- ☐ No additional fee is required.
- ☐ Small Entity.
- ☐ An extension fee in an amount of \$\_\_\_\_\_ for a \_\_\_\_\_-month extension of time under 37 C.F.R. § 1.136(a).
- ☒ A petition or processing fee in an amount of \$180 under 37 C.F.R. § 1.17(p).
- ☐ An additional filing fee has been calculated as shown below:

|   |                                  |       |                                 |               | Small Entity |           |    | Not a Small Entity |           |
|---|----------------------------------|-------|---------------------------------|---------------|--------------|-----------|----|--------------------|-----------|
|   | Claims Remaining After Amendment |       | Highest No. Previously Paid For | Present Extra | Rate         | Add'l Fee | or | Rate               | Add'l Fee |
| Total                                     |                                  | Minus |                                 |               | x \$25=      |           |    | x \$50=            |           |
| Indep.                                    |                                  | Minus |                                 |               | x 100=       |           |    | x \$200=           |           |
| First Presentation of Multiple Dep. Claim |                                  |       |                                 |               | + \$180=     |           |    | + \$360=           |           |
|   |                                  |       |                                 |               | Total        | \$        |    | Total              | \$        |

**Fee payment:**

- ☒ A check in the amount of \$180 is enclosed.
- ☐ Please charge Deposit Account No. 23-1925 in the amount of \$\_\_\_\_\_. A copy of this Transmittal is enclosed for this purpose.
- ☐ Payment by credit card in the amount of \$\_\_\_\_\_ (Form PTO-2038 is attached).
- ☒ The Director is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this paper (including any extension fee required to ensure that this paper is timely filed), or to credit any overpayment, to Deposit Account No. 23-1925.

10/26/06  
Date

Respectfully submitted,  
*Marc V. Richards*  
Marc V. Richards (Reg. No. 37,921)

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& LIONE

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NBC Tower – Suite 3600, 455 N. Cityfront Plaza Drive, Chicago, IL 60611-5599



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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313  
on October 26, 2006

Date of Deposit

Marc V. Richards, Reg. No. 37,921

Name of applicant, assignee or  
Registered Representative

Signature

Date of Signature

### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Appln. of: George V. Guyan et al.

Appln. No.: 09/305,234

Filed: May 4, 1999

For: Component Based Task  
Handling During Claim  
Processing

Attorney Docket No: 10022/248

Examiner: S. Rimell

Art Unit: 2164

### THIRD SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

In accordance with the duty of disclosure under 37 C.F.R. §1.56 and §§1.97-1.98, and more particularly in accordance with 37 C.F.R. §1.97(d), Applicant hereby cites the following reference(s):

#### U.S. Patent Documents

| No.             | Date of Publication | Patentee/Applicant/Assignee |
|-----------------|---------------------|-----------------------------|
| 2003/0145124 A1 | 07/31/2003          | Guyan et al.                |

**Foreign Patent Documents**

| <b>No.</b>      | <b>Date of Publication</b> | <b>Country</b> |
|-----------------|----------------------------|----------------|
| EP 0 854 431 A2 | 07/22/1998                 | EPO            |

**Other Art**

|  |
|--|
| Cugola, G., et al., "Exploiting an event-based infrastructure to develop complex distributed systems," Software Engineering, 1988; Proceedings of the 1988 International Conference on Kyoto, Japan, 19-25 April 1998, <i>IEEE</i> pp 261-270. |
| Groiss, Herbert, et al., "Interoperability with World Wide Workflows," <i>1<sup>st</sup> World Conference on Integrated Design &amp; Process Technology</i> , 1995, pp 1-7.  |
| Extended European Search Report for European Patent Application No. 06005193.5, dated August 22, 2006.   |

Applicant is enclosing Form PTO-1449 (one sheet), along with a copy of each listed reference for which a copy is required under 37 C.F.R. §1.98(a)(2). As each of the listed references is in English, no further commentary is believed to be necessary, 37 C.F.R. §1.98(a)(3). Applicant respectfully requests the Examiner's consideration of the above reference(s) and entry thereof into the record of this application.

By submitting this Statement, Applicant is attempting to fully comply with the duty of candor and good faith mandated by 37 C.F.R. §1.56. As such, this Statement is not intended to constitute an admission that any of the enclosed references, or other information referred to therein, constitutes "prior art" or is otherwise "material to patentability," as that phrase is defined in 37 C.F.R. §1.56(a).

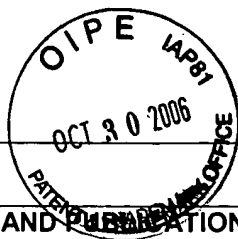
Applicant hereby certifies pursuant to 37 C.F.R. §1.97(e)(1) that no item of information in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign application more than three months prior to the filing of this Statement (a copy of any foreign communication first citing a listed reference is attached for the Examiner's reference). Applicant has further calculated a processing fee in the amount of \$180.00 to be due under 37 C.F.R. §1.17(p) in connection with the

filing of this Statement. Applicant has enclosed a check covering this fee, or authorized charging the fee to a deposit account or credit card, as indicated in the Transmittal accompanying this Statement.

Respectfully submitted,

10/26/06  
Date

Marc V. Richards  
Marc V. Richards (Reg. No. 37,921)



|   |                            |                                      |
|---|----------------------------|--------------------------------------|
| FORM PTO-1449   | SERIAL NO.<br>09/305,234   | CASE NO.<br>10022/248                |
| LIST OF PATENTS AND PUBLICATIONS FOR<br>APPLICANT'S INFORMATION DISCLOSURE<br>STATEMENT | FILING DATE<br>May 4, 1999 | GROUP ART UNIT<br>2164               |
| (use several sheets if necessary)   |                            | APPLICANT(S): George V. Guyan et al. |

**REFERENCE DESIGNATION U.S. PATENT DOCUMENTS**

| EXAMINER<br>INITIAL | DOCUMENT<br>NUMBER<br><small>Number-Kind Code (if known)</small> | DATE       | NAME         | CLASS/<br>SUBCLASS | FILING<br>DATE |
|---------------------|--|------------|--------------|--------------------|----------------|
|                     | D1 2003/0145124 A1   | 07/31/2003 | Guyan et al. |                    |                |

**FOREIGN PATENT DOCUMENTS**

| EXAMINER<br>INITIAL | DOCUMENT<br>NUMBER<br><small>Number-Kind Code (if known)</small> | DATE       | COUNTRY | CLASS/<br>SUBCLASS | TRANSLATION<br>YES OR NO |
|---------------------|--|------------|---------|--------------------|--------------------------|
|                     | D2 EP 0 854 431 A2   | 07/22/1998 | EPO     |                    | Yes                      |

| EXAMINER<br>INITIAL | OTHER ART – NON PATENT LITERATURE DOCUMENTS<br><small>(Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.)</small> |  |  |  |  |
|---------------------|---|--|--|--|--|
|                     | D3  | Cugola, G., et al., "Exploiting an event-based infrastructure to develop complex distributed systems," Software Engineering, 1988; Proceedings of the 1988 International Conference on Kyoto, Japan, 19-25 April 1998, <i>IEEE</i> pp 261-270. |  |  |  |
|                     | D4  | Groiss, Herbert, et al., "Interoperability with World Wide Workflows," <i>1<sup>st</sup> World Conference on Integrated Design &amp; Process Technology</i> , 1995, pp 1-7.  |  |  |  |
|                     | D5  | Extended European Search Report for European Patent Application No. 06005193.5, dated August 22, 2006.   |  |  |  |

|          |                 |
|----------|-----------------|
| EXAMINER | DATE CONSIDERED |
|----------|-----------------|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.